CRITERIA HAVING FINDINGS OR OBSERVATIONS
SUPPLEMENT TO THE FY 2001 ACSEP REPORT

Prepared by
Aircraft Certification Service

TABLE OF CONTENTS

INTRODUCTION

The following tables provide the specific criteria data collected during FY 2001 ACSEP evaluations conducted at production approval holders. Tables 1 through 4 present data from all approval types combined. The remainder of the tables present data for the particular approval type specified.

Table 1. – Systemic Findings

Criteria	Description	Number of Systemic Findings	Percent of Total Systemic Findings	Percent with Procedures in Place
10Q5	Flow down of technical and quality requirements	17	6%	10%
4P9	Completed product/part identification	14	5%	7%
4Q1	Inspection methods and plans	12	4%	7%
10Q1	Initial and periodic evaluation of suppliers	12	4%	7%
4E1	Accord with FAA-approved design data	11	4%	6%
4P4	Work instructions control manufacturing processes	9	3%	5%
5Q3	Accord with process specifications	9	3%	8%
10Q10	Receiving inspection	9	3%	5%
4Q5	Inspection records	8	3%	4%
11Q1	Verification of raw material	8	3%	4%
2E7	Design/Technical data document control	7	2%	4%
4M1	Operation within production limitations	7	2%	4%
11Q2	Permanent identification of scrap material	7	2%	4%
15M1	Internal auditing program	7	2%	5%
4P2	Work instructions prepared	6	2%	3%
4P3	Work instructions reflect tech data	6	2%	3%
12Q5	Identification of age control products	6	2%	4%
7Q12	Calibration records	5	2%	3%
2C1	Minor design change approval	4	1%	2%
4P5	Work instruction revision approval	4	1%	3%
4Q12	Completion of all inspections and tests	4	1%	2%
10Q2	Use of approved suppliers	4	1%	2%

Criteria	Description	Number of Systemic Findings	Percent of Total Systemic Findings	Percent with Procedures in Place
11Q4	Material review record generated	4	1%	2%
2E3	Technical data change approval	3	1%	2%
4P1	Change approval	3	1%	2%
4Q3	Issuance of inspection stamps	3	1%	2%
5Q4	Records maintained	3	1%	3%
7Q1	Approval/inspection of tools and gauges	3	1%	2%
7Q3	Tool and gauge recall system	3	1%	2%
8E1	Test procedures/ instructions established	3	1%	2%
10Q8	Verification of raw material	3	1%	2%
10Q12	Records of receiving inspection	3	1%	2%
11Q6	Corrective action required	3	1%	2%
11Q7	Corrective action monitored	3	1%	2%
12Q3	Storage of conforming parts	3	1%	2%
16Q5	Documents to importing country	3	1%	5%
1Q4	Quality Manual	2	1%	1%
2E1	Design Change approval	2	1%	1%
3BQ1	Verification prior to use	2	1%	4%
4Q2	Location of inspection stations	2	1%	1%
6Q1	Statistical sampling inspection plans	2	1%	2%
7Q4	Traceability to national/international standards	2	1%	1%
7Q11	Control of production tooling	2	1%	1%
8E3	Approval flight checkoff form	2	1%	10%
10Q3	Approval of supplier quality manual	2	1%	2%

Criteria	Description	Number of Systemic Findings	Percent of Total Systemic Findings	Percent with Procedures in Place
11M1	Management review of data	2	1%	1%
11E1	Engineering review for major/minor changes	2	1%	1%
11Q3	MRB established and operational	2	1%	1%
12Q1	Prevention of part damage/contamination	2	1%	1%
12Q4	Segregation of product in storage	2	1%	1%
14S1	Feedback on service problems	2	1%	1%
1M2	Organizations described	1	0%	1%
1M7	TC/PC/PLR does accurately list products	1	0%	1%
1Q5	Tags, forms, etc. defined	1	0%	1%
2E2	Drawing control system	1	0%	1%
2E6	Storage of design documents	1	0%	1%
2E8	Major/minor design changes	1	0%	1%
2E9	Technical data file	1	0%	1%
2P1	Manufacturing review of design/tech. data changes	1	0%	1%
2S2	Distribution of Inst. For Continued Airworthiness changes	1	0%	1%
2S3	AD/safety-related design changes to users	1	0%	1%
4Q9	Traceability to raw material	1	0%	1%
6Q2	Training in sampling techniques	1	0%	1%
6Q5	SPC method established	1	0%	2%
6Q7	SPC control limits/subgroup selection	1	0%	2%
7Q2	Instructions for acceptance tooling	1	0%	1%
7Q14	Identifications of gauges	1	0%	1%
9Q1	Operator qualification	1	0%	2%
9Q4	Tanks and solutions checked	1	0%	2%

Criteria	Description	Number of Systemic Findings	Percent of Total Systemic Findings	Percent with Procedures in Place
9Q9	Records of compliance	1	0%	2%
10Q6	Quality Assurance review of purchase documents	1	0%	1%
10Q11	Segregation of non-certified parts	1	0%	1%
10C1	Delegation of major inspection authority	1	0%	2%
12P1	Manufacturing review of handling specifications, etc.	1	0%	1%
12Q2	Special environmental controls	1	0%	1%
12Q8	Conforming products packaged and shipped	1	0%	1%
14S2	Record of service difficulties	1	0%	1%
14S3	Investigative/corrective action	1	0%	1%
14C3	Submittal of quality system data changes	1	0%	1%
14C4	Relocation of manufacturing facilities	1	0%	1%
14C5	Coordination of service bulletins, etc.	1	0%	1%
15M2	Feedback to higher level management	1	0%	1%
16Q4	Airworthiness approval tags obtained	1	0%	1%

Table 2. – Systemic Observations

Criteria	Description	Number of Systemic Observations	Percent of Total Systemic Observations	Percent with Procedures in Place
4Q3	Issuance of inspection stamps	7	6%	4%
15M1	Internal auditing program	7	6%	5%
10Q1	Initial & periodic evaluation of suppliers	6	5%	4%
10Q2	Use of approved suppliers	6	5%	3%
11Q1	Control of nonconforming products	6	5%	3%
4P4	Work instructions control manufacturing processes	4	4%	2%
7Q1	Approval/inspection of tools and gauges	4	4%	2%
12Q3	Storage of conforming parts	4	4%	2%
1Q5	Tags, forms, etc. described	3	3%	2%
4Q12	Completion of all inspections and tests	3	3%	2%
11Q2	Permanent identification of scrap material	3	3%	2%
1M5	Policy document review	2	2%	1%
4P2	Work instructions prepared	2	2%	1%
4Q5	Inspection records	2	2%	1%
4Q9	Traceability to raw material	2	2%	1%
5Q2	Required qualifications/approvals	2	2%	2%
5Q3	Accord with process specifications	2	2%	2%
6Q1	Statistical sampling inspection plans	2	2%	2%
10Q5	Flowdown of technical and quality requirements	2	2%	1%
10Q10	Receiving inspection	2	2%	1%
11Q4	Material review record generated	2	2%	1%
12Q8	Conforming products packaged and shipped	2	2%	1%

Criteria	Description	Number of Systemic Observations	Percent of Total Systemic Observations	Percent with Procedures in Place
1M1	Overall policy document	1	1%	1%
1M6	Policies/procedures available	1	1%	1%
1Q2	Quality Assurance manager identified	1	1%	1%
1Q3	Quality Assurance staff qualifications	1	1%	1%
1Q4	Quality Manual	1	1%	1%
1Q6	Record retention schedule	1	1%	1%
2E1	Design change approval	1	1%	1%
2E2	Drawing control system	1	1%	1%
2E7	Design/Technical data document control	1	1%	1%
2C1	Minor design change approval	1	1%	1%
3BE4	Software security	1	1%	2%
4P5	Work instruction revision approval	1	1%	1%
4P9	Completed product/part identification	1	1%	1%
6Q3	PRE-control method established	1	1%	3%
7Q3	Tool & Gauge recall system	1	1%	1%
7Q6	Calibration and use in acceptable environment	1	1%	1%
7Q10	Control of NDI equipment	1	1%	1%
7Q14	Identification of gauges	1	1%	1%
7Q15	Care of tool and gauges	1	1%	1%
7Q19	Tool and gauge rework/reinspection	1	1%	1%
8E1	Test procedures/instructions established	1	1%	1%
8Q4	Retest after adjustment/rework	1	1%	1%
9Q1	Operator qualification	1	1%	2%
9Q3	NDI instructions/specifications available and used	1	1%	2%

Criteria	Description	Number of Systemic Observations	Percent of Total Systemic Observations	Percent with Procedures in Place
9Q4	Tanks and solutions checked	1	1%	2%
9Q9	Records of compliance	1	1%	2%
10Q6	Quality Assurance review of purchase documents	1	1%	1%
10Q8	Verification of raw material	1	1%	1%
10Q12	Records of receiving inspection	1	1%	1%
11Q3	MRB established and operational	1	1%	1%
11Q5	Reinspection/ retest after rework/repair	1	1%	1%
11Q6	Corrective action required	1	1%	1%
11Q7	Corrective action monitored	1	1%	1%
12Q2	Special environmental control	1	1%	1%
12Q5	Identification of age control products	1	1%	1%
15M2	Feedback to higher-level management	1	1%	1%
16Q3	Export airworthiness approvals obtained	1	1%	2%
17Q3	Work in accordance with Part 43 requirements	1	1%	6%
17Q6	Completion of all requirements	1	1%	6%

Table 3. – Isolated Observations

Criteria	Description	Number of Isolated Observations	Percent of Total Isolated Observations	Percent with Procedures in Place
2E7	Design/Technical data document control	5	5%	3%
11Q1	Control of nonconforming products	5	5%	3%
4P5	Work instruction revision approval	4	4%	3%
5Q4	Records maintained	4	4%	4%
7Q1	Approval/inspection of tools & gauges	4	4%	2%
12Q3	Storage of conforming parts	4	4%	2%
12Q5	Identification of age control products	4	4%	3%
4P4	Work instructions control manufacturing processes	3	3%	2%
4Q8	Traceability for split lots	3	3%	2%
10Q5	Flowdown of technical and quality requirements	3	3%	2%
11Q3	MRB established and operational	3	3%	2%
4P1	Change approval	2	2%	1%
4P3	Work instructions reflect tech data	2	2%	1%
4Q1	Inspection methods and plans	2	2%	1%
5Q2	Required qualifications/approvals	2	2%	2%
8E1	Test procedures/ instructions established	2	2%	2%
9Q1	Operator qualification	2	2%	3%
10Q2	Use of approved suppliers	2	2%	1%
12Q7	Control of product removal/issuance	2	2%	1%
1Q5	Tags, forms, etc. described	1	1%	1%
1Q6	Record retention schedule	1	1%	1%
2E2	Drawing control system	1	1%	1%
2E3	Technical data change approval	1	1%	1%

Criteria	Description	Number of Isolated Observations	Percent of Total Isolated Observations	Percent with Procedures in Place
2E8	Major/minor design changes	1	1%	1%
2C1	Minor design change approval	1	1%	1%
2C4	Data submittal for TSO minor design change approval	1	1%	3%
3BQ2	Build and load instructions	1	1%	2%
4E2	New/changed process test substantiation	1	1%	1%
4P8	Traceability for split lots	1	1%	1%
4P9	Completed product/part identification	1	1%	1%
4Q2	Location of inspection stations	1	1%	1%
4Q5	Inspection records	1	1%	1%
4Q6	Cleaners, solvents, etc. identified	1	1%	1%
4Q9	Traceability to raw material	1	1%	1%
4Q10	Inspection marking	1	1%	1%
5E1	All special processes in use identified	1	1%	1%
5Q3	Accord with process specifications	1	1%	1%
5Q5	Action on process out of control	1	1%	1%
6Q1	Statistical sampling inspection plans	1	1%	1%
7P1	Appropriate measuring devices used	1	1%	1%
7Q10	Control of NDI equipment	1	1%	1%
7Q12	Calibration records	1	1%	1%
7Q14	Identification of gauges	1	1%	1%
7Q15	Care of tool and gauges	1	1%	1%
7Q16	Inaccurate tools and gauges identified	1	1%	1%
7Q19	Tool & gauge rework/reinspection	1	1%	1%

Criteria	Description	Number of Isolated Observations	Percent of Total Isolated Observations	Percent with Procedures in Place
8E2	Control of test procedure/ instruction change	1	1%	1%
8Q3	Records of completed tests	1	1%	1%
9E2	Control of NDI processes and changes	1	1%	2%
9Q7	Product handling	1	1%	2%
9Q11	Critical radiographic parameters identified	1	1%	4%
10Q1	Initial and periodic evaluation of suppliers	1	1%	1%
10Q3	Approval of supplier quality manual	1	1%	1%
10Q9	Verification of shelf-life materials	1	1%	1%
10Q11	Segregation of non-certified parts	1	1%	1%
10Q12	Records of receiving inspection	1	1%	1%
11E1	Engineering review for major/minor changes	1	1%	1%
11Q6	Corrective action required	1	1%	1%
14C3	Submittal of quality system data changes	1	1%	1%
15M1	Internal auditing program	1	1%	1%
15M2	Feedback to higher-level management	1	1%	1%
17Q3	Work in accordance with Part 43 requirements	1	1%	6%
17Q5	Record of completed work	1	1%	6%

Table 4. – CFR-Based Observations

Criteria	Description	Number of CFR-Based Observations	Percent of Total CFR-Based Observations	Percent with Procedures in Place
2E2	Drawing control system	3	16%	2%
4E1	Accord with FAA-approved design data	3	16%	2%
4P9	Completed product/part identification	2	11%	1%
1Q1	Quality organization described	1	5%	1%
2E1	Design change approval	1	5%	1%
2E3	Technical data change approval	1	5%	1%
2E7	Design/Technical data document control	1	5%	1%
2E8	Major/minor design changes	1	5%	1%
2S2	Distribution of Inst. For Cont'd Airworthiness changes	1	5%	1%
2S3	AD/safety-related design changes to users	1	5%	1%
4Q1	Inspection methods and plans	1	5%	1%
5Q1	Equipment available and calibrated	1	5%	1%
8C2	Engine inlet/test cell foreign object inspection	1	5%	5%
10Q8	Verification of raw material	1	5%	1%

Table 5. – Systemic Findings at TSO Facilities

Criteria	Description	Number of Systemic Findings	Percent of TSO Systemic Findings	Percent with Procedures in Place
10Q1	Initial and periodic evaluation of suppliers	5	9%	15%
4P2	Work instructions prepared	4	7%	12%
5Q3	Accord with process specifications	3	5%	13%
7Q12	Calibration records	3	5%	9%
1Q4	Quality Manual	2	4%	6%
2E3	Technical data change approval	2	4%	6%
2E7	Design/Technical data document control	2	4%	6%
4P5	Work instruction revision approval	2	4%	7%
4P9	Completed product/part identification	2	4%	6%
4Q1	Inspection methods and plans	2	4%	6%
4Q2	Location of inspection stations	2	4%	6%
11Q1	Control of nonconforming products	2	4%	6%
11Q3	MRB established and operational	2	4%	6%
15M1	Internal auditing program	2	4%	7%
2E8	Major/minor design changes	1	2%	3%
2E9	Technical data file	1	2%	3%
2S2	Distribution of Inst. For Cont'd Airworthiness changes	1	2%	4%
4M1	Operation within production limitations	1	2%	3%
4E1	Accord with FAA-approved design data	1	2%	3%
4Q5	Inspection records	1	2%	3%
4Q12	Completion of all inspections and tests	1	2%	3%
6Q1	Statistical sampling inspection plans	1	2%	5%
6Q2	Training in sampling techniques	1	2%	6%

Criteria	Description	Number of Systemic Findings	Percent of TSO Systemic Findings	Percent with Procedures in Place
6Q5	SPC method established	1	2%	8%
6Q7	SPC control limits/subgroup selection	1	2%	8%
7Q3	Tool and gauge recall system	1	2%	3%
10Q2	Use of approved suppliers	1	2%	3%
10Q8	Verification of raw material	1	2%	3%
10Q10	Records of receiving inspection	1	2%	3%
11Q2	Permanent identification of scrap material	1	2%	3%
11Q4	Material review record generated	1	2%	3%
11Q7	Corrective action monitored	1	2%	4%
12Q3	Storage of conforming parts	1	2%	3%
12Q8	Conforming products packaged and shipped	1	2%	3%
14S1	Feedback on service problems	1	2%	4%
16Q5	Documents to importing country	1	2%	7%

Table 6. – Systemic Observations at TSO Facilities

Criteria	Description	Number of Systemic Observations	Percent of TSO Systemic Observations	Percent with Procedures in Place
12Q8	Conforming products packaged and shipped	2	50%	6%
2C1	Minor design change approval	1	25%	4%
4P5	Work instruction revision approval	1	25%	3%

Table 7. – Isolated Observation at TSO Facilities

Criteria	Description	Number of Isolated Observations	Percent of TSO Isolated Observations	Percent with Procedures in Place
11Q3	MRB established and operational	2	13%	6%
2C4	Data submittal for TSO minor changes	1	6%	3%
4P3	Work instructions reflect tech data	1	6%	3%
4P5	Work instruction revision approval	1	6%	3%
4P9	Completed product/part identified	1	6%	3%
4Q8	Traceable components identified	1	6%	3%
5E1	All special processes in use identified	1	6%	4%
5Q5	Action on process out of control	1	6%	6%
8E1	Test procedures/ instructions established	1	6%	3%
8E2	Control of test procedure/instruction changes	1	6%	3%
10Q2	Use of approved suppliers	1	6%	3%
10Q9	Verification of shelf-life materials	1	6%	3%
11Q1	Control of nonconforming products	1	6%	3%
11Q6	Corrective action required	1	6%	3%
12Q5	Identification of age control products	1	6%	3%

Table 8. – CFR-Based Observations at TSO Facilities

Criteria	Description	Number of CFR-Based Observations	Percent of TSO CFR-Based Observations	Percent with Procedures in Place
12Q8	Conforming products packaged & shipped	2	50%	6%
2C1	Minor design change approval	1	25%	4%
4P5	Work instruction revision approval	1	25%	3%

Table 9. – Systemic Findings at PC Facilities

Criteria	Description	Number of Systemic Findings	Percent of PC Systemic Findings	Percent with Procedures in Place
10Q5	Flow down of technical and quality requirements	16	11%	52%
4Q1	Inspection methods and plans	6	4%	17%
4Q5	Inspection records	6	4%	16%
2E7	Design/Technical data document control	5	3%	15%
4E1	Accord with FAA-approved design data	5	3%	14%
11Q1	Control of nonconforming products	5	3%	14%
12Q5	Identification of age control products	5	3%	16%
4P3	Work instructions reflect tech data	4	3%	11%
4P4	Work instructions control manufacturing processes	4	3%	11%
10Q1	Initial and periodic evaluation of suppliers	4	3%	13%
10Q10	Receiving inspection	4	3%	12%
4Q3	Issuance of inspection stamps	3	2%	9%
4Q12	Completion of all inspections and tests	3	2%	8%
5Q3	Accord with process specifications	3	2%	9%
10Q2	Use of approved suppliers	3	2%	9%
10Q12	Records of receiving inspection	3	2%	9%
11Q4	Material review record generated	3	2%	8%
11Q6	Corrective action required	3	2%	9%
15M1	Internal auditing program	3	2%	9%
2E1	Design change approval	2	1%	6%
3BQ1	Verification prior to use	2	1%	11%
4P1	Change approval	2	1%	6%
5Q4	Records maintained	2	1%	6%
7Q1	Approval/inspections of tools & gauges	2	1%	6%

Criteria	Description	Number of Systemic Findings	Percent of PC Systemic Findings	Percent with Procedures in Place
7Q3	Tool & gauge recall system	2	1%	6%
7Q4	Traceability to national/international standards	2	1%	6%
7Q11	Control of production tooling	2	1%	6%
7Q12	Calibration records	2	1%	5%
8E1	Test procedures/instructions established	2	1%	6%
8E3	Approved flight checkoff form	2	1%	12%
10Q3	Approval of supplier quality manual	2	1%	9%
11M1	Management review of data	2	1%	6%
11Q2	Permanent identification of scrap material	2	1%	6%
11Q7	Corrective action monitored	2	1%	6%
12Q4	Segregation of products in storage	2	1%	5%
16Q5	Documents to importing country	2	1%	12%
1M2	Organizations described	1	1%	3%
1M7	TC/PC/PLR does accurately list products	1	1%	3%
1E1	Engineering/Flight Test organizations described	1	1%	3%
1Q5	Tags, forms, etc. described	1	1%	3%
2E2	Drawing control system	1	1%	3%
2E3	Technical data change approval	1	1%	3%
2E6	Storage of design documents	1	1%	3%
2P1	Manufacturing review of design/tech. data changes	1	1%	3%
2S3	AD/safety-related design changes to users	1	1%	4%

Criteria	Description	Number of Systemic Findings	Percent of PC Systemic Findings	Percent with Procedures in Place
4P2	Work instructions prepared	1	1%	3%
4P5	Work instruction revision approval	1	1%	3%
6Q1	Statistical sampling inspection plans	1	1%	6%
7Q2	Instructions for acceptance tooling	1	1%	3%
7Q14	Identification of gauges	1	1%	3%
9Q1	Operator qualifications	1	1%	4%
9Q4	Tanks and solutions checked	1	1%	4%
9Q9	Records of compliance	1	1%	4%
10Q6	Quality Assurance review of purchase documents	1	1%	3%
10Q8	Verification of raw material	1	1%	3%
10Q11	Segregation of non-certified parts	1	1%	3%
10C1	Delegation of major inspection authority	1	1%	4%
11E1	Engineering review of major/minor changes	1	1%	3%
12P1	Manufacturing review of handling specifications, etc.	1	1%	3%
12Q1	Prevention of part damage/contamination	1	1%	3%
12Q3	Storage of conforming parts	1	1%	3%
14S2	Record of service difficulties	1	1%	3%
14S3	Investigation/corrective action	1	1%	3%
14C3	Submittal of quality system data changes	1	1%	3%
14C4	Relocation of manufacturing facility	1	1%	6%
15M2	Feed-back to higher level management	1	1%	3%

Table 10. – Systemic Observations at PC Facilities

Criteria	Description	Number of Systemic Observations	Percent of PC Systemic Observations	Percent of PC Facilities
3BE4	Software security	1	17%	6%
4P4	Work instructions control manufacturing processes	1	17%	3%
8Q4	Retest after adjustment/rework	1	17%	3%
10Q2	Use of approved suppliers	1	17%	3%
10Q10	Receiving inspection	1	17%	3%
15M1	Internal auditing program	1	17%	3%

Table 11. – Isolated Observation at PC Facilities

Criteria	Description	Number of Isolated Observations	Percent of PC Isolated Observations	Percent with Procedures in Place
2E7	Design/Technical data document control	3	6%	9%
4P4	Work instructions control manufacturing processes	3	6%	8%
10Q5	Flowdown of technical and quality requirements	3	6%	10%
12Q3	Storage of conforming parts	3	6%	8%
5Q4	Records maintained	2	4%	6%
7Q1	Approval/inspection of tools & gauges	2	4%	6%
9Q1	Operator qualification	2	4%	8%
12Q5	Identification of age control products	2	4%	6%
12Q7	Control of product removal/issuance	2	4%	6%
1E1	Engineering/Flight test programs described	1	2%	3%
1Q5	Tags, forms, etc. described	1	2%	3%
1Q6	Record retention schedule	1	2%	3%
2E2	Drawing control system	1	2%	3%
2E8	Major/minor design changes	1	2%	3%
3BQ2	Build and load instructions	1	2%	6%
4E2	Accord with FAA-approved design data	1	2%	3%
4P5	Work instruction revision approval	1	2%	3%
4Q2	Location of inspection stations	1	2%	3%
4Q5	Inspection records	1	2%	3%
4Q8	Traceable components identified	1	2%	3%
4Q9	Traceability of raw material	1	2%	3%
4Q10	Inspection marking	1	2%	3%
5E1	All special processes in use identified	1	2%	3%

Criteria	Description	Number of Isolated Observations	Percent of PC Isolated Observations	Percent with Procedures in Place
5Q2	Required qualifications/approvals	1	2%	3%
6Q1	Statistical sampling inspection plans	1	2%	6%
7Q12	Calibration records	1	2%	3%
7Q14	Identification of gauges	1	2%	3%
7Q16	Inaccurate tools & gauges identified	1	2%	3%
8E1	Test procedures/ instructions established	1	2%	3%
8Q3	Records of completed tests	1	2%	3%
9Q7	Product handling	1	2%	4%
9Q11	Critical radiographic parameters identified	1	2%	8%
10Q1	Initial and periodic evaluation of suppliers	1	2%	3%
10Q3	Verification of raw material	1	2%	4%
11E1	Engineering review of major/minor changes	1	2%	3%
11Q3	Approval of supplier quality manual	1	2%	3%
14C3	Submittal of quality system data changes	1	2%	3%
15M1	Internal auditing program	1	2%	3%
15M2	Feedback to higher-level management	1	2%	3%

Table 12. – CFR-Based Observations at PC Facilities

Criteria	Description	Number of CFR-Based Observations	Percent of PC CFR-Based Observations	Percent with Procedures in Place
1Q1	Quality organization described	1	11%	3%
2E3	Technical data change approval	1	11%	3%
2E7	Design/Technical data document control	1	11%	3%
2S2	Distribution of Inst. for Cont'd Airworthiness changes	1	11%	5%
2S3	AD/safety-related design changes to users	1	11%	4%
4E1	Accord with FAA-approved design data	1	11%	3%
4P9	Completed product/part identification	1	11%	3%
8C2	Submittal of changes to flight test procedures	1	11%	6%
10Q8	Verification of raw material	1	11%	3%

Table 13. – Systemic Findings at PMA Facilities

Criteria	Description	Number of Systemic Findings	Percent of PMA Systemic Findings	Percent with Procedures in Place
4P9	Completed product/part identification	12	16%	10%
4M1	Operation within production limitations	6	8%	5%
4E1	Accord with FAA-approved design data	5	7%	4%
4P4	Work instructions control manufacturing process	5	7%	5%
2C1	Minor design change approval	4	5%	4%
4Q1	Inspection methods and plans	4	5%	4%
10Q10	Receiving inspection	4	5%	3%
11Q2	Control of nonconforming products	4	5%	4%
5Q3	Drawing control system	3	4%	5%
10Q1	Permanent identification of scrap material	3	4%	3%
4P3	Work instructions reflect tech. data	2	3%	2%
15M1	Internal auditing program	2	3%	2%
4P1	Change approval	1	1%	1%
4P2	Work instructions prepared	1	1%	1%
4P5	Work instruction revision approval	1	1%	1%
4Q5	Inspection records	1	1%	1%
4Q9	Traceability to raw material	1	1%	1%
5Q4	Records maintained	1	1%	2%
7Q1	Approval/inspection of tools & gauges	1	1%	1%
8E1	Test procedures/instructions established	1	1%	2%
10Q5	Flowdown of technical & quality requirements	1	1%	1%
10Q8	Verification of raw material	1	1%	1%
11E1	Engineering review of major/minor changes	1	1%	1%

Criteria	Description	Number of Systemic Findings	Percent of PMA Systemic Findings	Percent with Procedures in Place
11Q1	Control of nonconforming products	1	1%	1%
12Q1	Prevention of part damage/contamination	1	1%	1%
12Q2	Special environmental controls	1	1%	1%
12Q3	Storage of conforming parts	1	1%	1%
12Q5	Identification of age-control products	1	1%	1%
14S1	Feedback on service problems	1	1%	1%
14C5	Coordination of service bulletins, etc.	1	1%	2%
16Q4	Airworthiness approval tags obtained	1	1%	3%

Table 14. – Systemic Observation at PMA Facilities

Criteria	Description	Number of Systemic Observations	Percent of PMA Systemic Observations	Percent with Procedures in Place
4Q3	Issuance of inspection stamps	7	7%	7%
10Q1	Initial and periodic evaluation of suppliers	6	6%	6%
11Q1	Control of nonconforming products	6	6%	5%
15M1	Internal auditing program	6	6%	7%
10Q2	Use of approved suppliers	5	5%	5%
7Q1	Approval/inspection of tools & gauges	4	4%	4%
1Q5	Tags, forms, etc. described	3	3%	3%
4P4	Work instructions control manufacturing processes	3	3%	3%
4Q12	Completion of all inspections and tests	3	3%	3%
12Q3	Storage of conforming parts	3	3%	3%
1M5	Policy document review	2	2%	2%
4Q5	Inspection records	2	2%	2%
4Q9	Traceability to raw material	2	2%	2%
5Q3	Accord with process specifications	2	2%	4%
6Q1	Statistical sampling inspection plans	2	2%	4%
10Q5	Flow down of technical and quality requirements	2	2%	2%
11Q2	Permanent identification of scrap material	2	2%	2%
11Q4	Material review board generated	2	2%	2%
1M1	Overall policy document	1	1%	1%
1M6	Policy/procedures availability	1	1%	1%
1Q2	Quality Assurance Manager identified	1	1%	1%
1Q3	Quality Assurance staff qualifications	1	1%	1%
1Q4	Quality Manual	1	1%	1%

Criteria	Description	Number of Systemic Observations	Percent of PMA Systemic Observations	Percent with Procedures in Place
1Q6	Record retention schedule	1	1%	1%
2E1	Design change approval	1	1%	1%
2E2	Drawing control system	1	1%	1%
2E7	Design/Technical data document control	1	1%	1%
4P2	Work instructions prepared	1	1%	1%
4P9	Completed product/part identification	1	1%	1%
5Q2	Required qualifications/approvals	1	1%	2%
6Q3	PRE-control method established	1	1%	4%
7Q3	Tool & gauge recall system	1	1%	1%
7Q6	Calibration and use in acceptable environment	1	1%	1%
7Q10	Control of NDI equipment	1	1%	3%
7Q14	Identification of gauges	1	1%	1%
7Q15	Care of tools & gauges	1	1%	1%
7Q19	Tool & gauge rework/reinspection	1	1%	1%
8E1	Test procedures/instructions established	1	1%	2%
9Q1	Operator qualification	1	1%	3%
9Q3	NDI procedures/specifications available and used	1	1%	3%
9Q4	Tanks and solutions checked	1	1%	4%
9Q9	Records of compliance	1	1%	3%
10Q6	Quality Assurance review of purchase documents	1	1%	1%
10Q8	Verification of raw material	1	1%	1%
10Q10	Receiving inspection	1	1%	1%
10Q12	Records of receiving inspection	1	1%	1%

Criteria	Description	Number of Systemic Observations	Percent of PMA Systemic Observations	Percent with Procedures in Place
11Q3	MRB established and operational	1	1%	1%
11Q5	Reinspection/retest after rework/repair	1	1%	1%
11Q6	Corrective action required	1	1%	1%
11Q7	Corrective action monitored	1	1%	1%
12Q2	Special environmental controls	1	1%	1%
12Q5	Identification of age control products	1	1%	1%
15M2	Feedback to higher level management	1	1%	1%
16Q3	Export airworthiness approvals obtained	1	1%	3%
17Q3	Work in accordance with Part 43 requirements	1	1%	17%
17Q6	Completion of all requirements	1	1%	17%

Table 15. – Isolated Observation at PMA Facilities

Criteria	Description	Number of Isolated Observations	Percent of PMA Isolated Observations	Percent with Procedures in Place
11Q1	Control of nonconforming products	4	11%	3%
2E7	Design/Technical data document control	2	6%	2%
4P1	Change approval	2	6%	2%
4P5	Work instruction revision approval	2	6%	2%
4Q1	Inspection methods and plans	2	6%	2%
5Q4	Records maintained	2	6%	4%
7Q1	Inspection records	2	6%	2%
2E3	Completion of all inspections and tests	1	3%	1%
2C1	Records maintained	1	3%	1%
4P3	Control of special processing equipment	1	3%	1%
4P8	Inaccurate tools and gauges identified	1	3%	2%
4Q6	Policies/ procedures availability	1	3%	1%
4Q8	Quality Assurance Manager identified	1	3%	1%
5Q2	Quality Assurance staff qualifications	1	3%	2%
5Q3	Accord with process specifications	1	3%	2%
7P1	Approval/inspection of tools and gauges	1	3%	1%
7Q10	Control of NDI equipment	1	3%	3%
7Q15	Care of tools and gauges	1	3%	1%
7Q19	Tool and gauge rework/reinspection	1	3%	1%
9E2	Control of NDI process and changes	1	3%	3%
10Q2	Use of approved suppliers	1	3%	1%
10Q11	Segregation of non-certified parts	1	3%	1%
10Q12	Records of receiving inspection	1	3%	1%

Criteria	Description	Number of Isolated Observations	Percent of PMA Isolated Observations	Percent with Procedures in Place
12Q3	Storage of conforming parts	1	3%	1%
12Q5	Identification of age control products	1	3%	1%
17Q3	Work in accordance with Part 43 requirements	1	3%	17%
17Q5	Record of completed work	1	3%	17%

Table 16. – CFR-Based Observations at PMA Facilities

Criteria	Description	Number of CFR-Based Observations	Percent of PMA CFR-Based Observations	Percent with Procedures in Place
2E2	Drawing approval system	3	38%	3%
4E1	Accord with FAA-approved design data	2	25%	2%
2E1	Design change approval	1	13%	1%
4P9	Completed part/product identification	1	13%	1%
4Q1	Inspection method and plans	1	13%	1%